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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/030,867	04/29/2002	Masanori Kimura	81839.0105	8937

26021 7590 05/18/2004

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EXAMINER

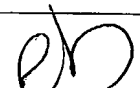
ANDERSON, MATTHEW A

ART UNIT	PAPER NUMBER
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1765

DATE MAILED: 05/18/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

<p align="center">Office Action Summary</p>	<p>Application No.</p> <p>10/030,867</p>	<p>Applicant(s)</p> <p>KIMURA, MASANORI</p>	
	<p>Examiner</p> <p>Matthew A. Anderson</p>	<p>Art Unit</p> <p>1765</p>	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
 - If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
 - If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
 - Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 02 March 2004.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-5 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-5 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 29 April 2002 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☒ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|---|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Claim Rejections - 35 USC § 103

1. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

2. Claims 4,1-3,5 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kojima et al. (US 6,458,202 B1 in view of Ito (JP01040668)).

Kijima et al. discloses a Cz method of pulling a single crystal silicon ingot having a uniform thermal history. (see abstract) The power supplied to the side heater is maintained constant throughout the growth of the main body and end cone of the ingot. The power supplied to the bottom heater is gradually increased during the second half of the growth process. The number of defects in the ingots is decreased versus the conventional process. In col. 10 lines 15-35 it is relayed that the bottom heater is used after about 40%-60% or more of the main body has formed. The cooling rate is described as less than 5% variable in the main body of the ingot. In col. 6 lines 5-25 (see also Fig. 1A) the basics of Cz pulling are described including a crucible charged with raw material, a surrounding side heater, and a pulling shaft or wire for withdrawal of the seed crystal from the melt to form the ingot. A steel container encloses the apparatus. Bottom heaters are also provided.

Kojima does not describe utilization percentage of the bottom heater in terms of weight of the ingot withdrawn versus the original raw material weight. Also, heating of the raw material between pulling cycles is not detailed.

Ito et al. discloses a method for growing a semiconductor single crystal by the Czochralski (Cz hereafter) pulling method. A quartz crucible is filled with raw material and heated to form a melt. Side heaters (3) and bottom heaters (4) are used in the heating process. A seed crystal is then contacted with the melt and slowly pulled up to form a single crystal ingot. A chamber (1) surrounds the crucible and heaters. The raw material is rapidly and effectively melted (abstract) by increasing the temperature uniformly across the crucible (Fig. 3 graph where the circles are the present invention).

It would have been obvious to one of ordinary skill in the art at the time of the present invention to combine the raw material melting use of the bottom heater (Ito) with the growth use of the bottom heater (Kojima) because then turn-around time between uses of the apparatus would have been reduced and more product could have been made. Ito suggests the bottom heater allows rapid and effective raw material melting.

In respect to claim 4, it would have been obvious to one of ordinary skill in the art at the time of the present invention to not allow solidification of the remaining melt between batch cycles because this would require additional heat and time to be used in re-melting the remaining raw material along with the new raw material added to the crucible for the next batch cycle.

In respect to claim 1, it would have been obvious to one of ordinary skill in the art at the time of the present invention, however, to grow such a Si ingot using a bottom

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heater powered after 60% (by weight) of the Si ingot has been grown because Kojima suggest using bottom heating after 60% (by length) of the Si ingot is grown and the length and weight of Si were known to be directly related. From elementary definitions of density and from geometry of a cylindrical ingot:

$$(L * A) * D = W$$

where:	L	=	ingot length
	A	=	ingot cross-sectional area
	D	=	Si density (constant at constant growth temperature)
	W	=	Si ingot weight

In respect to claim 2, it would have been obvious to one of ordinary skill in the art at the time of the present invention to keep the thermal gradients constant (i.e. uniform) in the ingot throughout all stages of the growth because Kojima et al. specifically suggests this in the first line of the abstract.

In respect to claims 3 and 5, it would have been obvious to one of ordinary skill in the art at the time of the present invention to optimize the power values of the main heater and the bottom heater and to control these power values during the growth because Kojima suggest control of the heaters (Col. 13 line 25-35) and optimization of the power sent to the heaters due to operational parameters including the hot zone design (col. 13 lines 40-55).

Response to Arguments

3. Applicant's arguments with respect to claims 4,1-3,5 have been considered but are not convincing.

4. In response to applicant's arguments against the references individually, one cannot show nonobviousness by attacking references individually where the rejections are based on combinations of references. See *In re Keller*, 642 F.2d 413, 208 USPQ 871 (CCPA 1981); *In re Merck & Co.*, 800 F.2d 1091, 231 USPQ 375 (Fed. Cir. 1986). Ito suggests using the multiple heaters to rapidly melt the raw material in the crucible. One ordinary skill would have reduced the time between pulling cycles (as claimed) by melting the raw material as rapidly as possible between cycles as suggested by Ito et al. The argument that Ito et al. only discloses the initial heating is not convincing as anyone of ordinary skill in the art would have been able to improve through put by replenishing the raw material melt as quickly as possible between pulling cycles. The examiner notes that the initial heating includes rapid heating of raw material just as does the replenishment step occurring after an ingot has been pulled from the crucible and more raw material is to be added before the next pulling cycle. The argument that one of ordinary skill would cool the crucible all the way down thereby cracking the crucible is not convincing. One or ordinary skill would have reduced through put time by rapidly melting raw materials between pulling cycles.

Conclusion

5. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Matthew A. Anderson whose telephone number is (571) 272-1459. The examiner can normally be reached on M-Th, 7-5:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Nadine Norton can be reached on (571) 272-1465. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

MAA
May 13, 2004

NADINE G. NORTON
SUPERVISORY PATENT EXAMINER

